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ABSTRACT

This loose-leaf manual brings together in a single reference source all administrative requirements common to ERIC clearinghouse operations. Some contain relatively firm guidelines that should be followed closely; others contain more flexible guidelines and suggestions that, in their application, should be considered subject to the discretion of the individual clearinghouses. The manual is divided into nine sections: (1) "Introduction"; (2) "Management of Clearinghouse Operations," which covers processing, budget monitoring, major clearinghouse publications monitoring, record keeping, and system support groups; (3) "Personnel Management," which includes job descriptions, functional titles, and staff orientation; (4) "User Services," which covers extent of services, recommended materials, and form letters; (5) "Clearinghouse Publications," i.e., information analysis products (IAPs) and other major publications; (6) "Guidelines for Semiannual Reports," which covers management data, the statistical report, status report on major clearinghouse publications, involvement with professional organizations, and current "cutting edge" topics; (7) "Guidelines for Site Visits to ERIC Clearinghouses," which includes preparation by the clearinghouse for the site visit, conduct of the site visit, and post site visit actions; (8) "Guidelines for the Annual Review," which includes the presentation of the review and review material to government monitors; and (9) "Incremental Funding Requests," which covers requirements for submission, format of the request, business (line item) budget, and performance category budget. A list of ERIC-related acronyms and samples of various forms used by the ERIC clearinghouses are included. (BBM)

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ED280510

ADMINISTRATIVE PROCEDURES AND GUIDELINES

FOR

ERIC CLEARINGHOUSE MANAGEMENT

NOVEMBER 1983

IR054069

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ADMINISTRATIVE PROCEDURES AND GUIDELINES

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ERIC CLEARINGHOUSE MANAGEMENT

November 1983

Compiled by Central ERIC Staff
for the
Guidance of the ERIC Clearinghouses

National Institute of Education (NIE)
Educational Resources Information Center (ERIC)

TABLE OF CONTENTS

		PAGE
List of Figures		
List of Acronyms		
I.	Introduction	I-3
II.	Management of Clearinghouse Operations	II-3
	A. Introduction	II-3
	B. Processing	II-3
	C. Budget Monitoring	II-3
	D. Major Clearinghouse Publications Monitoring	II-3
	E. Record Keeping	II-4
	F. System Support Groups	II-4
III.	Personnel Management	II-3
	A. Job Descriptions	III-3
	B. Functional Titles	III-3
	C. Staff Orientation	III-3
IV.	User Services	IV-3
	A. Introduction	IV-3
	B. Extent of Services	IV-3
	C. Recommended Materials	IV-3
	D. Form Letters	IV-4
V.	Clearinghouse Publications	V-3
	A. Introduction	V-3
	B. Information Analysis Products (IAPs) and Other Major Publications	V-3
VI.	Guidelines for Semiannual Reports	VI-3
	A. Introduction	VI-3
	B. Management Data	VI-3
	C. Statistical Report	VI-4
	D. Status Report on Major Clearinghouse Publications	VI-10
	E. Involvement with Professional Organizations	VI-12
	F. Current "Cutting Edge" Topics	VI-12

		PAGE
VII.	Guidelines for Site Visits to ERIC Clearinghouses	VII-3
	A. Introduction	VII-3
	B. Preparation for Site Visit by Clearinghouse	VII-3
	C. Conduct of the Site Visit	VII-9
	D. Post Site Visit Actions	VII-10
VIII.	Guidelines for Annual Review	VIII-3
	A. Introduction	VIII-3
	B. Presentation of the Review	VIII-3
	C. Review Material	VIII-3
IX.	Incremental Funding Requests	IX-3
	A. Introduction	IX-3
	B. Requirements for Submission	IX-3
	C. Format of Request	IX-3
	D. Business (Line Item) Budget	IX-4
	E. Performance Category Budget	IX-5

LIST OF FIGURES

FIGURE II-1:	The Council of ERIC Directors (COED) Guidelines
FIGURE II-2:	ERIC Technical Steering Committee Guidelines
FIGURE III-1:	Functional Titles [Standard ERIC Job Titles]
FIGURE IV-1 (A-E):	User Service Form Letters (Samples)
FIGURE V-1:	ERIC Information Analysis Product—— Letter of Agreement with Proposed Author (Sample)
FIGURE V-2:	ERIC Publication Planning Sheet (Individual Publication)
FIGURE VI-1:	Staffing Table (Sample)
FIGURE VI-2:	ERIC Clearinghouse Statistical Report—— Part I
FIGURE VI-3:	ERIC Clearinghouse Statistical Report—— Part II——Major Clearinghouse Publications Distribution Report
FIGURE VII-1:	ERIC Clearinghouse Site Visit Review Form
FIGURE VIII-1:	Annual Review Document—— Suggested Outline
FIGURE VIII-2:	Summary of Work Accomplished and Planned (Sample)
FIGURE VIII-3:	Statistical Data (Sample)
FIGURE VIII-4:	ERIC Clearinghouse Information Analysis Products——Annual Summary Sheet (Showing Status of Each Product)
FIGURE VIII-5A:	Other Clearinghouse Activities: Linkages with Professional Organizations
FIGURE VIII-5B:	Other Clearinghouse Activities: ERIC Columns Published in Professional Journals

LIST OF ACRONYMS

CERIC	Central ERIC
CIJE	Current Index to Journals in Education
EDRS	ERIC Document Reproduction Service
FTE	Full-Time Equivalent
GPO	Government Printing Office
IAL	Identifier Authority List
IAP	Information Analysis Product
NDN	National Dissemination Network
NIE	National Institute of Education
OF-60	Optional Form 60
PCB	Performance Category Budget
R&D	Research and Development
RIE	Resources in Education
SMERC	San Mateo Educational Resources Center

SECTION OUTLINE

	PAGE
I. INTRODUCTION	I-3

I. INTRODUCTION

The decentralized nature of the ERIC system creates a need for the standardization of activities and procedures. The purpose of these Administrative Procedures and Guidelines is to assemble into a single reference source all ERIC administrative requirements common to clearinghouse operations. The sections on Semiannual Reports, Site Visits, Annual Reviews, and Annual Renewal Proposals contain relatively firm guidelines that should, as indicated, be followed closely. The sections on Management of Clearinghouse Operations, Personnel Management, User Services, and Clearinghouse Products contain more flexible guidelines and suggestions that should be considered subject to the discretion of individual Clearinghouses in their application.

Modifications to this manual will be made on a section-by-section basis, as changes become necessary.

SECTION OUTLINE

		PAGE
II.	MANAGEMENT OF CLEARINGHOUSE OPERATIONS	II-3
	A. Introduction	II-3
	B. Processing	II-3
	C. Budget Monitoring	II-3
	D. Major Clearinghouse Publications Monitoring	II-3
	E. Record Keeping	II-4
	F. System Support Groups	II-4

II. MANAGEMENT OF CLEARINGHOUSE OPERATIONS

A. Introduction

Efficient functioning of an ERIC clearinghouse requires constant and careful monitoring of all elements of the operation, including administration, input, and output. It is essential, therefore, that a detailed description of each identifiable clearinghouse function exist in written form. The information so provided serves a dual purpose:

(1) as a training aid for orientation of new clearinghouse staff, and

(2) as a reference for site visit monitors engaged in surveying clearinghouse activities.

B. Processing

Flowcharts depicting typical clearinghouse processing functions should be established and maintained for use as guides in developing the work flow of the clearinghouse. Every required element of the processing operation should be included in such flowcharts. The initials or names of individuals responsible for the various activities can be inserted in each block of the flowchart, if desired, as an additional aid for managerial control.

C. Budget Monitoring

Each clearinghouse should maintain a monthly accounting record of its commitments and estimated obligations during the period of each annual contract. This record should be adjusted periodically as records of actual expenditures are received from the sponsoring institution's fiscal office. This information should be recorded in the line item format contained in the Federal contract document.

Such a record would be, of course, an "unofficial" accounting, but its preparation is strongly recommended since it is essential for each clearinghouse director to be constantly aware of his/her commitments (which will subsequently result in the expenditure of contract funds) in order to avoid possible contract cost overruns.

D. Major Clearinghouse Publications Monitoring

It is recommended that progress charts on the status of all major clearinghouse publications (i.e., contract deliverable items) be established for each funding year and be carefully monitored for adherence to prescribed production schedules.

Since major clearinghouse publications are specific contractual "deliverables," it is necessary that each and every one cited in the contract proposal (or its annual updates) be completed by the expiration date of the contract. It is necessary, therefore, for all major publications to be closely monitored with regard to progress. If it becomes apparent at any time that a delay has occurred in the performance schedule of a given product that will prevent an author from completing his/her manuscript in time for it to be in camera-ready format by the end of the contract period, the publication should be cancelled and the appropriate Central ERIC (CERIC) monitor notified in writing concerning the circumstances. It is desirable to have available an appropriate substitution that may be proposed at the same time the cancellation notice is submitted to CERIC. A brief description of the proposed substitute and a revised schedule should be submitted. Written notice of approval or disapproval of the substitution will be provided the clearinghouse. If no substitution for the originally proposed product is published in that funding year, the contractor will be expected to have the unspent portion of the funds involved (author's commission, printing costs, etc.) reflected as unexpended carryover.

E. Record Keeping

The importance of the need for keeping accurate and complete records cannot be overemphasized. It is easier and often more economical to anticipate the need for records and to expend extra effort at record collection time than to have to assemble data long after the fact by searching through files to extract newly required additional information. Records kept specifically for reporting operational statistics to CERIC should be as comprehensive and accurate as possible. Statistical data provided CERIC is consolidated annually and is used for predicting future work loads in budget justifications furnished to Federal funding authorities.

It is not necessary for each clearinghouse to use the same data collection forms, but it is imperative that each collect the same basic set of data, in the same manner, and, when applicable, during the same time span. Particular care should be taken that the source data collected for compilation of the ERIC semiannual reports are retained and available during the duration of the contract.

F. System Support Groups

The ERIC system supports two standing groups, the Council of ERIC Directors (COED) and the ERIC Technical Steering Committee. As needs arise, additional ad hoc committees or subcommittees may be formed.

The Council of ERIC Directors (COED) is composed of representatives of the ERIC clearinghouses and other system components. COED serves as a liaison between the ERIC system

as a whole and CERIC for the purpose of contributing ideas and strategies for the strengthening of the system, suggesting policies, and resolving management-level issues. COED supports ad hoc committees as needed, as well as a number of standing committees (e.g., Technology, Future of ERIC, International Relations).

The Technical Steering Committee is composed of technical staff from the ERIC Clearinghouses, with one technical staff person from the ERIC Facility. This committee serves to plan and implement the regional and national technical meetings and to act on the recommendations arrived at during these meetings.

Guidelines for each group are shown in Figures II-1 and II-2, respectively.

THE COUNCIL OF ERIC DIRECTORS (COED)

GUIDELINES

1. The Directors, Assistant Directors, and Associate Directors of the ERIC Clearinghouses and the Directors of the ERIC Support Contractors shall constitute a body called the "Council of ERIC Directors (COED)." The Council shall meet annually to discuss matters related to the functioning of the ERIC system. Each member of COED shall have one vote, unless the issue being voted on requires there to be only one vote per organization, in which case an objection from the floor, sustained by the chair, can require one vote per organization for that particular action.

2. COED shall elect a steering committee called the "Executive Committee."

3. The Executive Committee shall be made up of six (6) members, elected by the Council, with at least three (3) members being ERIC Clearinghouse Directors.

4. The term of office for an elected member of the Executive Committee shall be for three (3) years, with a possible continuance (by election) for an additional three (3) years. After being off the Executive Committee for one year, a member is eligible for re-election. No ERIC Clearinghouse or Support Contractor may have more than one member on the Executive Committee.

5. Nominations for election to the Executive Committee shall be made either at COED meeting or by mail, at any time, to the Chair of the Executive Committee. The Chair will report any nominations prior to any election.

6. The Chair and Deputy Chair of the Executive Committee shall be selected by the members of the Executive Committee. The term of office for the Chair and Deputy Chair shall be for one year.

7. The Chair of the Executive Committee shall be the immediate liaison between COED and Central ERIC (or any other Federal agency or project).

8. COED shall be responsible for establishing committees, made up of Council members and other ERIC staff members, to deal with the concerns of the ERIC Directors and Associate/Assistant Directors.

FIGURE II-1

ERIC TECHNICAL STEERING COMMITTEE

GUIDELINES

1. The ERIC Technical Steering Committee shall serve as a conduit between the network's technical processing staff and CERIC for the purposes of promoting system improvement and enhancing system operations. Suggestions for system improvements or modifications in ERIC technical procedures may originate in the ERIC clearinghouses or other system components, with members of the Steering Committee, or as a result of national/regional technical meetings or other system meetings.

2. In coordination with CERIC, the Steering Committee shall be responsible for:

   - planning and implementing the agenda for the national technical meeting;
   - providing planning assistance for regional technical meetings;
   - considering all recommendations resulting from national/regional technical meetings; and
   - making recommendations for action to CERIC.

3. The Steering Committee shall be comprised of five people, including representatives from three ERIC Clearinghouses (one from the east, midwest, and west coast), one ERIC Facility representative, and a chairperson chosen by CERIC. A balance between processing and user services skills is desirable and will be sought. Each member shall serve a three-year term. Terms shall be staggered in order to permit annual rotation. Members of the Committee may recommend new representatives to CERIC; new members shall be selected by CERIC.

FIGURE II-2

SECTION OUTLINE

		PAGE
III.	PERSONNEL MANAGEMENT	
	A. Job Descriptions	III-3
	B. Functional Titles	III-3
	C. Staff Orientation	III-3

III. PERSONNEL MANAGEMENT

A. Job Descriptions

Each clearinghouse is expected to have an appropriate job description on file for each employee on its staff. It is recognized that due to the diverse functions performed in ERIC clearinghouses, job descriptions can be difficult to prepare. It is also recognized that host institutions, particularly universities, use standardized job descriptions and titles which differ from those normally used in ERIC. To meet the needs of the ERIC system, however, it is requested that clearinghouses use the Functional Titles (or combinations thereof) displayed in Figure III-1, when furnishing staffing tables (in semiannual reports and annual review summaries or site visit materials).

B. Functional Titles

Functional titles should be selected from the list displayed in Figure III-1.

C. Staff Orientation

Each clearinghouse should develop and document a comprehensive orientation plan for familiarizing new employees with the functions of the total ERIC system as well as the operations of the individual clearinghouse. The orientation program should include a thorough explanation of each clearinghouse activity and should be flexible enough for use in orienting employees with varying levels of responsibility.

Examples of materials which are suitable for inclusion in orientation programs are:

1. Internal Procedure, Policy, and Training Manuals

   a. The ERIC Directory

   b. ERIC Staff Handbook

   c. ERIC Administrative Procedures and Guidelines

   d. ERIC Policy Manual

   e. ERIC Processing Manual

      New employees should familiarize themselves with the entire contents of this manual, with particular emphasis on the sections that pertain to the employee's assigned areas of responsibility.

TITLES	CORRESPONDING FUNCTIONS
Director	Responsible for overall management of clearinghouse, including administration, financial management, professional guidance, etc. Has ultimate responsibility for selection of suitable materials for input into RIE and CIJE.
Associate Director	Shares responsibility with Director for clearinghouse operation. Frequently has overall responsibility for an identifiable scope in a multiscope clearinghouse.
Assistant Director	Primarily responsible for overall administrative and technical operations of the clearinghouse.
Administrative Assistant	Performs administrative functions such as generating reports, keeping records and statistics, compiling budgetary and fiscal data, budget monitoring, maintaining correspondence control system, etc.
Secretary	Performs secretarial functions, including taking dictation and transcribing shorthand notes, composing responses to routine correspondence, maintenance of Director (and associate/assistant director) correspondence files, arrangement of travel and accommodations, etc.
Clerk-Typist	Responsible for routine typing (including keying of online input), record keeping, filing, etc.
Acquisitions Specialist	Locates, solicits, and acquires materials as potential candidates for input into RIE. May also be responsible for acquisition and control of journals for CIJE.
Document Coordinator	Responsible for managing flow of documents and journals through the clearinghouse. Duties include maintenance of necessary records, production of required reports, cataloging, and review of all input into RIE and CIJE.
Abstractor	Writes abstracts and annotations for RIE and CIJE. (Functions generally combined with that of indexer; see following title.)
Indexer	Assigns index terms to documents and/or articles which have been selected for input into RIE or CIJE. (Functions generally combined with that of abstractor; see previous title, above.)
Editor	Responsible for the administration of all in-house products (IAPs, user services products, newsletters, etc. Duties include establishment and maintenance of production schedules for all products, supervision of printing arrangements, record keeping related to printing costs, and rendering required progress reports to CERIC. Duties may include tasks of a general nature (introductions, forewords, prefaces, etc.).
User Services Specialist	Responsible for overall user service program. Activities include question-answering functions, supervision of online searching, conduct of ERIC orientations, briefing, and workshops.

FUNCTIONAL TITLES

FIGURE III-1

f. ERIC Abstractor/Indexer Workbook (Revised Edition) (AI Workbook)

Personnel employed for the purpose of abstracting/indexing documents for entry into RIE, and/or indexing/annotating journal articles for entry into CIJE, will find the AI Workbook a valuable training tool in learning ERIC's approach to abstracting/indexing concepts. This workbook, the abstracting and indexing sections of the ERIC Processing Manual, the Identifier Authority List, and the Thesaurus of ERIC Descriptors, constitute the basic minimum set of tools needed by individuals engaged in indexing/abstracting activities (or in reviewing the output of such individuals).

2. Brochures, Handouts, and Other Publications for Users

a. How to Start an ERIC Collection

Although there are at present over 700 standing order subscribers to all the ERIC microfiche produced by EDRS each month, there are a least several thousand other organizations concerned with various facets of education that are potential subscribers to either part or all of the ERIC microfiche. This publication is designed to inform such a potential customer what is needed in the way of equipment, fixtures, and materials to start either a minimal, intermediate, or a complete collection. General estimates of costs for each type are also provided. User services personnel in particular should be familiar with the contents of this pamphlet.

b. Submitting Documents to ERIC

All clearinghouse personnel should know how documents are best submitted to the ERIC database and the kinds of documents that are desirable, acceptable, and unacceptable.

c. All About ERIC

d. Pocket Guide to ERIC

3. Authority Lists and Reference Tools

a. ERIC——The First Fifteen Years (ED 195-289)

B. Thesaurus of ERIC Descriptors

The official, controlled indexing vocabulary for the ERIC system. All indexing and retrieval staff should be thoroughly familiar with this publication.

c. ERIC Identifier Authority List (IAL)

Serves as a companion volume or supplement to the Thesaurus. All indexing and retrieval staff should be thoroughly familiar with this publication.

c. ERICTOOLS

ERICTOOLS are a series of printed indexes, directories, and cross-reference lists, distributed internally to components of the ERIC network. For example:

1. Title Index - provides access by document title.

2. Source Directory - provides access to all organizational names used in the system, i.e., corporate authors and sponsoring agencies.

3. Acquisitions Data Report - lists all clearinghouse acquisitions, by title, during a specified period of time.

Various other cross-reference lists lead an information seeker to the accession number (ED number) from: Report Number; Contract/Grant Number, and Clearinghouse Accession Number. All clearinghouse personnel should be aware of the existence and availability of these items at the clearinghouse. All personnel engaged in technical processing duties should be thoroughly knowledgeable in the purposes of the tools and experienced with regard to their usage.

d. ERIC Directory

Clearinghouse personnel should be familiar with names, titles, and functions of all principals in the ERIC system.

e. RIE and CIJE Abstract Journals

All clearinghouse personnel should be familiar with the contents of RIE and CIJE. Technical staff should be well enough versed in the two publications to be able to conduct a comprehensive manual search.

4. Miscellaneous

a. Organization Charts

Charts should reflect the relative position of the clearinghouse in the ERIC system and, if applicable, the position of ERIC in the overall Federal structure.

b. Glossaries of Terms

Glossaries should include all terminology commonly used in ERIC, with particular attention to acronyms such as NIE, GPO, EDRS, NTIS, NDN, SMERC, RISE, NWREL, IAP, PCB, etc. Identification of clearinghouse titles by their designated prefixes - CE, CG, CS, EA, etc. - should be a primary learning requirement for each new clearinghouse employee.

SECTION OUTLINE

		PAGE
IV.	USER SERVICES	
A.	Introduction	IV-3
B.	Extent of Services	IV-3
C.	Recommended Materials	IV-3
D.	Form Letters	IV-4

IV. USER SERVICES

A. Introduction

The development of a user services program is dependent upon the official definition and contractual scope of work of the ERIC clearinghouse involved. The following guidelines are basic and should be closely adhered to.

B. Extent of Services

Every question asked of a clearinghouse, whether it originates through a visit, phone call, or letter, should be answered. Each clearinghouse should, however, use its own judgment as to the extent of personalized service it can afford to give within its allocated resources. As much as possible, responses to queries should be responded to through an established routine. Pre-printed, off-the-shelf items, such as, mini-bibs, abstracts, etc., on topics of popular demand, can be used. Considerable use should also be made of previously-prepared "ERIC Short Reports" on "hot topics." Numerous clearinghouses have prepared mini-instructional guides to aid walk-in users in conducting their own hand-searches through RIE and CIJE. If the query is out of the scope of the clearinghouse, referrals to a more appropriate source can often be the best response. Although all clearinghouses now have online searching capability, such services should be advertised only for searches within the assigned scope of the clearinghouse. Out-of-scope requests (except for local requests) should be referred to the most convenient and appropriate search service listed in the Directory of ERIC Search Services.

C. Recommended Materials

Clearinghouses should have at least the following materials to use as handouts at conferences and to include with answers to specific requests:

- Current lists of all ERIC clearinghouses with correct addresses (and phone numbers) and brief scope notes.
- Brochures descriptive of clearinghouse functions and services offered.
- General ERIC brochures for routine distribution at annual professional meetings and as enclosures with responses to inquiries about the ERIC system.
- Current clearinghouse publication lists, including citations to products of other clearinghouses that have a high degree of overlap in subject scope with the clearinghouse in question.

- Subscription forms for RIE, CIJE, ERICTAPES/ERICTOOLS, and EDRS order forms.
- Descriptive materials on how to use ERIC.
- Copies of the Directory of ERIC Search Services, Directory of ERIC Microfiche Collections, and annual bibliographies of ERIC Clearinghouse Publications
- Lists of available ERIC training materials.

D. Form Letters

Clearinghouses are encouraged to use form letters in connection with responses to users. It is also urged that, as particularly effective forms are developed, copies be distributed to other clearinghouses in the system for evaluation and possible wider utilization. For sample user service form letters, see Figures IV-1(A-E).

UNIVERSITY OF CALIFORNIA, LOS ANGELES UCLA

BERKELEY · DAVIS · IRVINE · LOS ANGELES · RIVERSIDE · SAN DIEGO · SAN FRANCISCO

SANTA BARBARA · SANTA CRUZ

ERIC CLEARINGHOUSE FOR JUNIOR COLLEGES
96 POWELL LIBRARY BUILDING
LOS ANGELES, CALIFORNIA 90024
(213) 825-3931

Dear Contributor:

As a contributor to the ERIC system and as an author, you know the importance of bibliographic support material in the development of your papers or speeches. The Clearinghouse processes several hundred documents per year and undoubtedly many of them contain information that you could use. You can take advantage of Clearinghouse information dissemination in several ways:

1) Request information on a specific topic through a manual search of our junior college input. This service is free and provides 10-15 abstracts of ERIC documents pertinent to your topic.

2) Order computerized literature searches of the entire ERIC database on a topic of interest. Because of computer time and printing costs, we must charge $20 for this service (which provides you with up to 50 abstracts of ERIC documents).

3) Be placed on our Clearinghouse mailing list, which means receipt of our quarterly newsletter and publications listing. Again, no charge for this service.

4) Request single copies of our free Clearinghouse publications addressing current concerns facing community college educators.

5) Request annotated bibliographies and supplementary materials for conferences, conventions, seminars, and regional meetings. These free materials try to focus on the theme of the conference or to provide general information about ERIC services and publications.

I hope ERIC can be of assistance to you. If you would like to request either a manual or computer search, use the search request form on the back of this letter. If you would like to discuss or request any of the other services described above, please write or call me.

The staff at the Clearinghouse feels that ERIC has a lot to offer the individual practitioner. I hope we hear from you.

Cordially,

Gayle Byock
Assistant Director

USER SERVICES FORM LETTER (SAMPLE)

FIGURE IV-1(A)

UNIVERSITY OF CALIFORNIA, LOS ANGELES

BERKELEY • DAVIS • IRVINE • LOS ANGELES • RIVERSIDE • SAN DIEGO • SAN FRANCISCO — SANTA BARBARA • SANTA CRUZ

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LOS ANGELES, CALIFORNIA 90024
(213) 825-3931

In response to your recent request, we are sending you the following:

( ) copies of document abstracts
( ) copy(ies) of pertinent clearinghouse publications
( ) other _____

The abstracts have been selected from the documents collected by our clearinghouse during approximately the last two years. The complete text of these documents can (with occasional exceptions) be obtained either in microfiche (MF) or paper copy (PC) from the ERIC Document Reproduction Service (EDRS). Order numbers (ED numbers) are shown on the abstract forms and current prices may be calculated from the pagination and the price schedule on the enclosed EDRS order blank.

Although we are glad to be able to provide free manual searches to users, we recommend computer searching the ERIC database for comprehensive retrieval of documents and journal articles from all sixteen ERIC clearinghouses. The current price for this service from this clearinghouse is given on the search request form enclosed. Also, you can search ERIC yourself manually using the printed indexes of Resources in Education and Current Index to Journals in Education. Many colleges and universities throughout the country subscribe to these monthly abstract/index journals; many institutions also have a complete collection of ERIC microfiche (see the enclosed listing of collections in your geographic area).

Each month we process about sixty documents for inclusion and announcement in Resources in Education. The effectiveness of our operation depends primarily on the documents submitted to us by authors and document generators. Therefore, if you have access to any useful reports or studies completed recently at your institution, won't you please share these with us? If possible, we would like to receive two copies of each submission. A document that is processed for ERIC brings national visibility to the institution and the author, and contributes to the entire field of education. Your support in this enterprise would be invaluable.

Please call on us again if we can be of further assistance.

Sincerely,

ERIC Clearinghouse for Junior Colleges

Enclosures

USER SERVICES FORM LETTER (SAMPLE)

FIGURE IV-1(B)

ERIC EDUCATIONAL RESOURCES INFORMATION CENTER

Clearinghouse on Higher Education

THE GEORGE WASHINGTON UNIVERSITY

Enclosed is a computer search of the ERIC database that yielded a number of citations on the topic contained in your request. Some of the references in this annotated bibliography may not be exactly on target, but may be of some peripheral value and have, therefore, been included.

The entries headed by EJ-numbers refer to journal articles cited in Current Index to Journals in Education (CIJE); those with ED-numbers refer to documents cited in Resources in Education (RIE). Both of these monthly publications are sponsored by the Educational Resources Information Center (ERIC) of the National Institute of Education (NIE). They are available for reference in many college and public libraries and in the offices of many state and local education agencies.

Complete copies of the reports and papers identified in your search with ED-numbers can be located in ERIC microfiche collections (exceptions are ED-numbers followed by #, indicating a copyrighted item). These microfiche collections are maintained by libraries and information centers specializing in education information. Individual copies may be purchased through the ERIC Document Reproduction Service (EDRS). Journal articles (identified with EJ-numbers) can be located in the original journal in the periodicals section of many libraries. If a particular journal is not available, reprints may often be purchased from reprint services such as University Microfilms International (UMI). Order forms for both EDRS and UMI are enclosed.

If you should cite any of the nonjournal ERIC documents in a bibliography of your own, mention of the ED-number would simplify access by others to the literature. A recommended citation format is enclosed.

I hope this information will be helpful. If you would take a moment to complete and return the enclosed search service evaluation form, you will help us in our efforts to improve both the computer search service and the ERIC database. Also, do not hesitate to contact us with any questions regarding ERIC or this search.

Sincerely,

Laura Ciarniello
Research Assistant

SUITE 630 / ONE DUPONT CIRCLE / WASHINGTON, D.C. 20036-1183 / (202) 296-2597

USER SERVICES FORM LETTER (SAMPLE)

FIGURE IV-1(C)

ERIC INFORMATION REQUEST FORM

To receive further information about the products and services of the Educational Resources Information Center (ERIC), check the space or spaces below and return this form to the ERIC Clearinghouse for Junior Colleges, Los Angeles, California 90024.

_____ I would like to receive general information about the ERIC system.

_____ I would like to receive a list of names and addresses of the various ERIC Clearinghouses.

_____ I would like to receive a copy of the ERIC Clearinghouse for Junior College's publications listing.

_____ I would like to receive copies of the ERIC Document Reproduction Service (EDRS) order form.

_____ I would like to receive information about how I can contribute documents to the ERIC system.

_____ I would like to request a search of the ERIC database. (Please describe the search topic as fully as possible in the space below. A search specialist will telephone you before conducting the search, in order to clarify your request.)

Name: _____ Date: _____

Position: _____ Telephone: ( ) _____

Institution: _____

Address: _____

_____

USER SERVICES FORM LETTER (SAMPLE)

FIGURE IV-1(D)

ERIC CLEARINGHOUSE ON HIGHER EDUCATION
George Washington University
One Dupont Circle, Suite 630
Washington, D.C. 20036

COMPUTER-GENERATED BIBLIOGRAPHY SERVICE SURVEY

In order for the Clearinghouse to assess and improve its performance, we need to know how useful our services have been to you and what specific areas need improvement. It would be greatly appreciated if you will take a few minutes to complete the following brief form.

Name: _____

Position: _____

Institution: _____

Search Topic: _____ Invoice #: _____

_____

_____

1. How did you learn about the search service?

_____brochure
_____library or resource center
_____ERIC workshop
_____in a course
_____a friend/colleague
_____by contacting a clearinghouse
_____other (please specify)
_____

2. Have you used the service before?

_____Yes _____No

3. Did you personally negotiate your search with a Clearinghouse staff member?

_____Yes _____No If yes, the help you received was:

Excellent____ Above Average____ Average____ Fair____ Poor ____

4. Was your topic adequately covered by the bibliography?

_____Yes _____No

5. In what way did the bibliography not meet your needs?

6. How would you rate the promptness of this service?

Excellent____ Above Average____ Average____ Fair____ Poor ____

USER SERVICES FORM LETTER (SAMPLE)

FIGURE IV-1(E)
(Page 1 of 2)

7. How many people will be using the information supplied? _____

8. The original intent of your request was to gain information in order to (check only one):

_____make a decision concerning an educational issue or policy.

_____plan a program that currently is not available.

_____modify or improve a program that currently exists.

_____develop a course curriculum.

_____increase your professional background knowledge about a topic.

_____prepare a proposal.

_____prepare a paper for a journal or a class.

_____write a dissertation.

_____other (please specify) _____

9. Did your actual use of the bibliography differ significantly from your original intent?

_____Yes _____No If yes, please indicate how and why:

10. Specific suggestions for improvement of the computer-generated bibliography service:

USER SERVICES FORM LETTER (SAMPLE)

SECTION OUTLINE

	PAGE
V. CLEARINGHOUSE PUBLICATIONS	
A. Introduction	V-3
B. Information Analysis Products (IAPs) and Other Major Publications	V-3

V. CLEARINGHOUSE PUBLICATIONS

A. Introduction

The function of an ERIC clearinghouse does not end with the collection and processing of documents. As more and more information is collected, it becomes necessary to synthesize this information into more usable forms. Clearinghouse personnel are in an advantageous position to do this, either by themselves or by commissioning outside authors.

Clearinghouse publications may be divided into three major categories: information analysis products, other major publications, and user service products.

B. Information Analysis Products (IAPs) and Other Major Publications

Publications in the IAP category are syntheses or translations of information contained in ERIC and other relevant databases. They represent new contributions to the information field in that they pull together, analyze, and synthesize, and suggest applications of the knowledge for practice improvement.

The category, "Other major publications," includes extensive annotated bibliographies, comprehensive directories, resource guides, and other major publications that, while not falling into the IAP category of analyzed and synthesized data, still serve a useful purpose in compiling and transmitting information.

1. Topic Information

Topics for information analysis products (and "Other major publications" products) are identified in a variety of ways. Since clearinghouse advisory boards serve as a link between the clearinghouse and its user audiences, they can provide suggestions for topics. Also, clearinghouse staff are aware of current issues in education through information requests received by the clearinghouse and through NIE announcement of Federal priority areas.

2. Scheduling

After a topic has been selected, clearinghouses will develop a publication schedule and corresponding budget. Schedules will contain <u>at a minimum</u> the following information:

a. Subject and type of proposed document. Method of topic selection should be indicated, e.g., recommendation of advisory board, NIE priority area, analysis of user requests, etc.

b. Purpose and need for publication. Explain how document relates to an emerging trend or critical issue in scope area(s) and its anticipated value to the target audience.

c. Proposed author. After selection, letters of agreement/ contracts should be on file with prospective authors clearly defining the terms of the contract. This will include method and amount of payment, time schedules for receipt of first draft for review and subsequent revisions. Information should also be given as to what services will be provided to the author in the way of literature searches, bibliographies, etc. (See Figure V-1 for a sample letter of agreement.)

d. Printing arrangement. Indicate organization that will print final version of the document. A schedule of when camera-ready copy must be provided to the printer should be prepared and a prospective completion date obtained.

e. Distribution plans. Indicate number of copies to be printed and how they are to be distributed. Be sure to include provision in the budget for preparing and distributing an announcement of the document's existence and availability.

f. A budget breakdown (provide total costs, both direct and indirect), including the following items:

(1) Author's honorarium, if any.

(2) Staff salaries

(3) Editing costs, either by clearinghouse personnel or by contract. This should be a personnel cost only, including overhead and fringe benefits.

(4) Additional expenses, if necessary, for creating camera-ready copy, e.g., art work, layout, etc.

(5) Estimate of printing and binding charges.

(6) Distribution costs. Include cost of advertising, postage for mandatory mail list, etc.

(7) Other costs not included above (identify category).

g. All major clearinghouse publications are to be considered deliverable items which must be completed by the end of the contract period. The Publication Planning Sheet (Figure V-2) includes a time schedule which must be provided for each proposed publication. This schedule must be closely monitored by the clearinghouse. If a scheduled publication is delayed for valid reasons, e.g., author cancellation or illness, or disapproval of a draft by a review group, slippage must not be allowed beyond the point where completion by the end of the contract year is endangered. Careful consideration must be given as to when a

ERIC/CRESS

Box 3AP, New Mexico State University
Las Cruces, New Mexico 88003

AGREEMENT TO PREPARE

_____ (Title of Paper) _____

I have read the Guide for Authors of ERIC/CRESS Publications and shall, within the framework set forth, prepare, edit, and submit a paper conforming to these guidelines for a total cost of $_____. This amount is to include all costs, such as the review of literature, synthesis, writing, secretarial, and editing assistance. I will also comply with the following development schedule:

Rough Draft to ERIC/CRESS: _____

Reviewed Draft Returned to Author: _____

Final Draft to ERIC/CRESS: _____

I further stipulate that in the case of original manuscripts, the material included in the manuscript will be produced by me; that it does not infringe upon any copyright or any personal or proprietary right of any other person or party. Proper recognition will be given for any quoted material included in the manuscript.

One fourth of the contracted amount will be paid upon acceptance of the outline for the paper. Final payment will be made upon receipt of a manuscript acceptable to the Clearinghouse. Five (5) complimentary copies of the document will be provided the author upon publication.

Name: _____ Social Security Number: _____

Address: _____

_____
(Signature)

_____
(Date)

Accepted for the Clearinghouse by:

_____

Date:

_____

ERIC INFORMATION ANALYSIS PRODUCT——LETTER OF AGREEMENT WITH PROPOSED AUTHOR (SAMPLE)

FIGURE V-1

substitution is necessary or possible and to the level of funding already expended.

If a substitution is necessary, written notification must be submitted for the record to the appropriate CERIC clearinghouse monitor, explaining the reason for cancellation of the contracted deliverable, the topic and proposed author for the item to be substituted, and the projected cost and time schedule—— which must not extend beyond the current contract period.

The manuscripts for all major publications must receive, prior to publication, an internal clearinghouse review and a minimum of two external reviews by a mix of appropriate subject experts and members of the target audience.

Each clearinghouse publication must contain, on the back of the title page, the following disclaimer notice, with the NIE logo appearing to the left of the disclaimer:

The National Institute of Education

This publication was prepared with funding from the National Institute of Education, U.S. Department of Education under contract no. NIE-00-000-000. The opinions expressed in this report do not necessarily reflect the positions or policies of NIE or the Department of Education.

The registered ERIC logo must appear on the front cover and title page of each publication. The ERIC logo is a registered trademark and it is essential that the "R" is placed on the outside of the logo in the upper right hand corner. The ERIC logo should be no smaller than 1-3/4 inches in length (on the cover).

ERIC®

Ten copies of each major publication should be submitted to Central ERIC. One copy of each publication should be sent to the ERIC Facility.

2. ERIC Digests (formerly known as "Fact Sheets")

ERIC clearinghouse will produce a negotiated number (usually 4-10 per year) of syntheses or synopses on current, high-interest topics related to the clearinghouse scope area(s). Topics selected may be based on federal initiatives, advice from the clearinghouse advisory board, frequency of user service requests, input from relevant professional associations and organizations, and the

literature. In preparing these products, clearinghouses will consider a variety of viewpoints; the final product must present a balanced approach. Suggested titles, topical focus, target audience, and proposed authors will be stated in the contract proposal for year one, and in its annual updates for succeeding years. ERIC Digests may be written by clearinghouse staff or by persons having appropriate subject expertise, under contract to the clearinghouse.

The ERIC Digest is generally targeted to a particular audience, is subject specific, is limited in size to a single printed sheet (front and back), and is in the question-answer format, with references to additional sources of information. ERIC Digests must carry the ERIC logo on the front sheet or cover. The standard NIE disclaimer statement (previouly cited) must also appear in an appropriate location within the document. The ERIC Digests must receive internal clearinghouse review and a minimum of two external reviews by a mix of appropriate subject experts and members of the target audience. The clearinghouse director is responsible for the accuracy and content of all Digests. Digests will be used, among other ways, in responding to user information requests, as handouts for workshops, in inservice training, and as input to a special computerized file.

Ten copies of each Digest should be submitted to Central ERIC. One copy of each Digest should be sent to the ERIC Facility.

NO. _____

ERIC PUBLICATION PLANNING SHEET

Proposed Title: _____

Proposed Author: _____

Type of Publication: _____
(e.g., IAP, bibliography, etc.)

Target Audience: _____ No. of copies: _____

Purpose and Need for Publication: _____

_____

_____

_____

Method of Topic Selection: _____

Publication Arrangements (joint? who prints?): _____

_____

BUDGET:

	ANTICIPATED EXPENDITURES	ACTUAL EXPENDITURES
• Author's honorarium (if any)		
• Staff salaries		
• Editing		
• Typing of Manuscript		
• Art work/camera-ready copy		
• Review/consultants		
• Printing and binding		
• Distribution		
• Other (identify)		
TOTAL COST		

SCHEDULE

	ESTIMATED DATE	ACTUAL DATE
• Author selection and contract		
• Prospectus		
• Outline/First draft of manuscript		
• Review		
• Revised manuscript		
• Editing		
• Typing		
• To printer		
• Publication Date		
• RIE issue in which document will appear		

FIGURE V-2
Revised February 1984

SECTION OUTLINE

		PAGE
VI.	GUIDELINES FOR SEMIANNUAL REPORTS	
A.	Introduction	VI-3
B.	Management Data	VI-3
C.	Statistical Report	VI-4
D.	Status Report on Major Clearinghouse Publications	VI-10
E.	Involvement with Professional Organizations	VI-12
F.	Current "Cutting Edge" Topics	VI-12

VI. GUIDELINES FOR SEMIANNUAL REPORTS

A. Introduction

The Semiannual Report is Central ERIC's (CERIC's) principal means of obtaining current system statistical and operational data to be used for budgetary planning purposes. The following guidelines are to be used for the preparation of clearinghouse Semiannual Reports. Such reports are to be submitted to Central ERIC for 6 month intervals ending June 30 and December 31, respectively. Two (2) copies of each report are to be forwarded to CERIC, so as to arrive not later than the 15th of the month following the end of the reporting period.

The report will consist of the following major sections:

- Management Data
- Statistical Report
- Involvement with Professional Organizations
- Status Report on Major Clearinghouse Publications

Each major section is to begin on a separate page.

B. Management Data

1. Exception Report

This section will be used to report significant or unusual happenings which should be brought to the attention of CERIC. Clearinghouses are urged to report only those happenings which are deemed exceptional or of special interest and which have some bearing either on the daily management of the clearinghouse or on policy direction. Examples of such "exceptions" are:

- Indication that a change in the clearinghouse overhead rate has been received from the pertinent authorizing agency.
- Change in physical location of clearinghouse.
- Feedback from ERIC users, such as significant reactions to changes in system operation or policy.

2. Personnel

a. Any changes in personnel occurring during the reporting period.

b. Biographies of new professional staff employed during the quarter. Information should include educational background, work experience, and areas of specialization.

c. Clearinghouse Staffing Table

The staffing table must be kept current and should be submitted as an attachment to the semiannual report. Figure VI-1 is a sample of such a staffing table.

The Clearinghouse staffing table should normally include only positions that are occupied. If a position is temporarily vacant, indicate the status of the position (e.g., recruiting). Each occupied position, whether part-time or full-time, should be separately listed and described in terms of full-time equivalents (FTE's). If there are three "Abstractor/Indexers" employed, the title "Abstractor/Indexer" should be listed three times and the FTE percentage and ERIC funding percentage appropriate to each shown.

Job titles should be shown according to functions performed by the incumbents. If an individual occupies a position in which he or she doubles in the capacity of Abstractor and Editor, then the job should be listed as Abstractor/Editor.

3. Equipment Purchased During Period from Contract Funds

a. Nomenclature
b. Purchase Date
c. Price

(Include only those items which require permission from the NIE Contracting Officer prior to purchase, i.e., those items costing more than $200.)

C. Statistical Report

This section consists primarily of statistical information and should be reported on the ERIC Clearinghouse Statistical Report—— Part I, form (Figure VI-2). All of the categories of information listed on these reporting forms refer to the number of units processed, sold, or persons served. Do not include any dollar figures.

Although most of the categories on this form are self-explanatory, several require further definition to ensure that these statistics are being recorded and reported in a uniform manner.

1. Clarifying Definitions:

a. Solicited/Unsolicited Documents

A solicited document is one that is acquired by means of some specific verbal or written contact. An unsolicited document is one that is acquired when no contact has been made. Documents published by the clearinghouse should be counted as "Solicited."

ERIC CLEARINGHOUSE STAFFING TABLE (SAMPLE)

JOB TITLE	FULL-TIME EQUIVALENT (FTE)	PERCENT OF FTE COVERED BY ERIC FUNDING
Director	.50	50
Associate Director	1.00	100
Assistant Director	1.00	100
Administrative Assistant	.25	100
User Services	.75	100
Editor	.60	100
Abstractor/Indexer	.25	100
Secretary	1.00	100
Clerk-Typist	.75	100
TOTAL	6.10	

FIGURE VI-1

b. Percentage of Documents Rejected

This should be calculated based on the number of documents rejected, divided by the total number of documents received, minus the number transferred out.

c. Vocabulary Activity

The first four categories refer to terms and suggestions actually submitted to the Vocabulary Development Program. Terms and suggestions recorded under the last entry "Terms reviewed/considered" should reflect those items that received significant analysis and thought, but that were not submitted to the Vocabulary Development Program. Normal monthly review of the Vocabulary Status Report should not be reflected here, since all clearinghouses are expected to participate routinely in this activity.

d. Requests Received

(1) Visitors. This category includes individuals coming to the clearinghouse's physical location. If an ERIC reading room is part of the clearinghouse facility, a reading room user would be counted as a visitor. Users of an ERIC collection in a location remote to the clearinghouse (across campus, upstairs in library) should not be counted in this category. Also, persons visiting a clearinghouse booth or exhibit at a convention or meeting should not be included in this category.

(2) Total. It should be noted that the total for "Requests Received" and the total for "Breakdown of All Users" should agree.

e. Type of Request

All requests received by a clearinghouse should be classified as either in-scope or out-of-scope. In addition statistics should be kept on: requests for clearinghouse products, general questions on ERIC, and number of entries on mailing list. Central ERIC is frequently asked for information in these areas and a separate breakout is, therefore, required.

f. Searches Performed

ERIC searches are of two types——manual and computer; both involve interaction with a user and the utilization of the ERIC database. Simply pulling microfiche from the ERIC microfiche collection does not constitute an ERIC search.

ERIC CLEARINGHOUSE STATISTICAL REPORT PART I (CALENDAR _____)			FIRST HALF YEAR	SECOND HALF YEAR	ANNUAL TOTAL
	STAFF	FTE Staff (Budgeted)			
		FTE Staff (Contributed)			
		TOTAL Staff			
DOCUMENT INPUT	AQUISITIONS	Documents Received——Solicited			
		Documents Received——Unsolicited			
		Documents Received——Transferred in			
		TOTAL Documents In			
		Documents Rejected			
		Documents Transferred Out			
		TOTAL Documents Out			
		Percentage of Documents Rejected			
PROCESSING FOR DATABASE	RIE	Documents Selected for RIE			
		Documents Submitted for RIE			
		Documents Being Held for Reproduction Release or for Better Copy			
	CIJE	Journals Covered Selectively			
		Journals Covered Comprehensively (Cover-to-Cover)			
		Journals Covered for One-Shot Articles			
		TOTAL Journal Titles Covered			
		Journal Issues Processed			
		Articles Processed, Indexed, and Annotated			
LEXICOGRAPHY	VOCABULARY ACTIVITY	New Terms Submitted			
		Terms Deleted			
		Terms or Displays Modified			
		Scope Notes Added/Modified			
		Terms Reviewed/Considered			
REFERENCE	REFERENCE REQUESTS	Telephone Requests Received			
		Letter Requests Received			
		Visitors (in Person Requests) Received			
		TOTAL Requests			

FIGURE VI-2
Page 1 of 2

			FIRST HALF YEAR	SECOND HALF YEAR	TOTAL ANNUAL
ANALYSIS OF REFERENCE REQUESTS	TYPE OF REQUEST	In-Scope			
		Out-of-Scope			
		TOTAL Requests			
		Requests for Clearinghouse Product(s)			
		General Questions About ERIC			
		"Place on Mailing List" Requests			
	SEARCHES PERFORMED (IN CONNECTION WITH REQUESTS)	Manual Searches			
		Computer Searches			
		TOTAL Searches			
	TYPE OF USER MAKING REQUESTS	Educational Practitioners			
		Educational Decisionmakers			
		Research and Development Specialists			
		Information and Dissemination Specialists			
		Professional Organizations			
		Students			
		Government Agencies			
		Other			
		TOTAL			
PUBLISHING	CLEARING-HOUSE PRODUCTS	Newsletters/Bulletins			
		Number Distributed			
		Journal Columns			
		Number of Subscribers Reached			
		Journal Articles			
		Number of Subscribers Reached			
		ERIC Digests			
		Number Distributed			
		IAPs (and Other Major Publications)			
OUTREACH	OUTREACH ACTIVITIES	ERIC Workshops/Seminars Conducted			
		Individuals in Attendance			
		Presentations at Professional Meetings			
		Exhibits at Professional Meetings			

FIGURE VI-2
Page 2 of 2

(g) Breakdown of All Users

Every effort should be made to identify the types of users. Clues can be found in letterhead, titles, prior knowledge, etc. When accepting telephone requests, it is advisable to determine the job responsibility of the caller in order to more easily respond to the request. Clearinghouse staff should be trained to elicit this information with a standard telephone response.

Examples of each type of user are listed as aids in the classification of users.

(1) Educational Practitioners

(teachers at all levels of education; counselors and guidance workers; community organization workers; anyone involved in the process of education)

(2) Educational Decisionmakers

(superintendents; principals; deans; department heads; school board members; supervisors; and anyone involved in policy making)

(3) Research and Development Specialists

(local, state, and university R&D personnel; staff of R&D centers and regional labs, nonprofit and profit-making R&D centers)

(4) Information and Dissemination Specialists

(librarians, information center staff, etc.)

(5) Professional Organizations

(6) Students

(7) Government Agencies

(federal, state, local, etc.)

(8) Other

(all others, e.g., business organizations, not fitting into the categories above)

(9) Total

It is possible for a person to fit into more than one category, e.g., a principal taking a course in college. Try to fit the person into the category in which he/she is functioning at that time. Users should be accounted for under only one category/request.

It should be noted that the total for "Requests Received" and the total for "Breakdown of All Users" should agree in number. The total for type of request, however, can vary due to the possibility of multiple requests in the same letter, phone call, or visit.

h. Clearinghouse Products

(1) Number of Journal Subscribers Reached: This figure should be the total number of subscribers to a journal (the journal's circulation).

i. Outreach Activities

(1) Workshops/Seminars Conducted. Include only those sessions of 1½ hours or more.

(2) Number of Persons in Attendance. Number of persons attending the specific sessions listed in preceding category (NOT the number of individuals attending entire conference).

(3) Presentations at Professional Meetings. Include total number of ERIC or clearinghouse related presentations given at professional meetings.

D. Status Reports on Major Clearinghouse Publications

All information regarding the status of products described in Section V of this Manual should be reported. A reproduced copy of each product's Publication Planning Sheet (see Figure V-2) will satisfy the requirements for this section of the Semiannual Report. The "Actual Date" scheduled should be brought up-to-date for each product.

In addition to submitting the Publication Planning Sheets, the distribution and sales of these publications should be recorded and submitted on the ERIC Clearinghouse Statistical Report——Part II (Figure VI-3). Each major clearinghouse publication produced during the current 3-year contract period should be listed by title, along with distribution and sales data. Part II of the ERIC Clearinghouse Statistical Report should be submitted once a year, along with the second Semiannual Report (in December).

ERIC

CLEARINGHOUSE STATISTICAL REPORT—PART II
MAJOR CLEARINGHOUSE PUBLICATIONS
DISTRIBUTION REPORT*

Date _____

TITLE	NUMBER DISTRIBUTED FREE DURING LAST 12 MONTHS	NUMBER SOLD DURING LAST 12 MONTHS	TOTAL CUMULATIVE DISTRIBUTION TO DATE
TOTALS			

*This form should be submitted with the 2nd Semiannual Report.

FIGURE VI-3

E. Involvement with Professional Organizations

1. Participation on panels or presentations at special programs and professional meetings.

2. Joint publication arrangements between clearinghouses and professional organizations, or with other clearinghouses.

3. Other affiliations or arrangements with specialized professional organizations.

4. Presentations, workshops, or exhibits at professional meetings or other groups scheduled for the future. Give dates and locations of where the activity will take place and whether you are willing to distribute materials from other clearinghouses. Also, indicate where the materials should be shipped and to whom.

F. Current "Cutting Edge" Topics

List current topics or subjects which are receiving special attention within the clearinghouse scope area(s).

SECTION OUTLINE

		PAGE
VII.	GUIDELINES FOR SITE VISITS TO ERIC CLEARINGHOUSES	
	A. Introduction	VII-3
	B. Preparation for Site Visit by Clearinghouse	VII-3
	C. Conduct of the Site Visit	VII-9
	D. Post Site Visit Actions	VII-10

VII. GUIDELINES FOR SITE VISITS TO ERIC CLEARINGHOUSES

A. Introduction

1. Purpose of Site Visit

Clearinghouse site visits, generally made by the relevant Central ERIC (CERIC) project monitor, are intended to:

- provide ERIC staff with a regular opportunity to become informed about the details of clearinghouse operations and to become acquainted with clearinghouse staff members;
- support a process of periodic self-review and evaluation by the clearinghouse staff of their own operation; and
- provide for a regular examination of clearinghouse performance with respect to its contractual obligations.

2. Scheduling of Site Visit

Site visits will normally be scheduled once a year, preferably six months prior to the expiration date of each annual contract funding period.

B. Preparation for Site Visit by Clearinghouse

1. Staff Involvement

The site visit provides an opportunity for the entire staff of the clearinghouse to become involved in a review of their current activities and performance. In preparation, it is recommended that the forthcoming site visit be discussed at general staff meetings and that plans be developed for a division of labor in the preparation of the various aspects of the site visit program.

2. Preparation of Site Visit Review Form

The Site Visit Review Form (Figure VII-1) will serve as the basis of discussion during the site visit. The form serves as a self-evaluation tool for clearinghouse staff and as a guide for ERIC staff in performing the site visit. Its use is intended to reduce the amount of time and preparation necessary for the visit. It should serve as an exception report and should highlight those areas/operations which have changed significantly from those originally proposed for the contract year in question. Comprehensive backup material or narrative is not required, but may be provided to clarify a response or further explain a problem area.

The second column on the form ("Documentation") should be used to describe briefly the level of effort being devoted to an activity; the next column should explain any

deviation from original projects; and the last column should indicate how potential problems will be addressed or how successful experience can be shared or capitalized upon.

Personnel responsible for each aspect of the program to be addressed at the site visit should complete the appropriate section(s) of the Site Visit Review Form.

3. Agenda for the Site Visit

An agenda and the completed Site Visit Review Form should be forwarded to CERIC one week before the site visit is scheduled.

The format of the Site Visit Review Form may serve as the basis of the agenda for the visit. Modifications will occur, of course, given the particular needs and interests of each clearinghouse. The site visit may open with remarks by the clearinghouse Director and the CERIC monitor.

C. Conduct of the Site Visit

1. Logistics

It is recommended that during the site visit, a general meeting be held of the entire clearinghouse staff, including secretaries and part-time personnel. This session can provide an opportunity for the CERIC project monitor to share information about recent system-wide developments and future possibilities. Subsequently, there should be a review of the agenda or sub-group discussions, so that individual staff can adjust their plans to be present or not, as seems appropriate.

2. Verification of Clearinghouse Program as Reported

The project monitors will examine the clearinghouse program, as reported in the site visit report, in some combination of the following ways:

- continuing in general session, with the person in charge of a particular aspect of the program briefly pointing out the highlights, and the monitor probing for clarifications and further information and exploring issues or problems;

- breaking into a sequence of sub-group meetings, with the site visitor(s) meeting separately with those staff members primarily concerned with particular aspects of the clearinghouse program, to discuss the details of these aspects

- actually moving to various physical locations in the clearinghouse where the program is carried on, so that a first-hand view of facilities, working conditions, and staff operations can be obtained.

ERIC CLEARINGHOUSE SITE VISIT REVIEW FORM

Name of Clearinghouse: _____ Completed By: _____

Date: _____

A. *Acquisitions and Selection*

The clearinghouse has established a formal acquisitions and selection program which identifies and acquires a substantial percentage of documents available within the scope area(s), and screens them in accordance with specified qualitative criteria.

CHECKLIST	DOCUMENTATION	PROBLEMS/COMMENTS	SUGGESTIONS FOR IMPROVEMENT
1. Maintains an adequate acquisitions network/ arrangements			
2. Strives for appropriate balance among scope areas			
3. Uses specified selection criteria			
a. RIE			
b. CIJE			
4. Maintains quality control			
a. RIE			
b. CIJE			
5. Document rejection rate			

ERIC CLEARINGHOUSE SITE VISIT REVIEW FORM PAGE_____

B. *Processing*

The clearinghouse enters documents into the ERIC system promptly and systematically, following guidelines contained in the ERIC Processing Manual.

CHECKLIST	DOCUMENTATION	PROBLEMS/COMMENTS	SUGGESTIONS FOR IMPROVEMENT
1. Provides for duplicate checking			
2. Indexes documents/ articles			
3. Keeps track of backlog of documents to be processed			
4. Submits appropriate quantity of documents			
5. Maintains cost figures for processing documents			
6. Achieves appropriate turnaround time			
a. RIE			
b. CIJE			

FIGURE VII-1
Page 1 of 5

ERIC CLEARINGHOUSE SITE VISIT REVIEW FORM PAGE_____

C. *Thesaurus Development*

The clearinghouse regularly reviews the appropriateness of current Thesaurus Descriptors and Identifiers, and suggests new terms relevant to the scope of the clearinghouse.

CHECKLIST	DOCUMENTATION	PROBLEMS/COMMENTS	SUGGESTIONS FOR IMPROVEMENT
1. Regularly reviews existing Descriptors/Identifiers			
2. Initiates new Descriptors/Identifiers, as appropriate			

ERIC CLEARINGHOUSE SITE VISIT REVIEW FORM PAGE _____

D. *User Services*

The clearinghouse responds to information requests and provides workshops within the scope of the clearinghouse. Instruction in how to use ERIC is provided.

CHECKLIST	DOCUMENTATION	PROBLEMS/COMMENTS	SUGGESTIONS FOR IMPROVEMENT
1. Develops procedures for handling information requests			
2. Tracks education trends from information requests			
3. Produces brochures, pamphlets, bibliographies, and form letters for use in question-answering			
4. Establishes and maintains linkages with other state or regional information dissemination agencies			
5. Fosters outreach activities (through workshops, newsletters, etc.			
6. Conducts training workshops			
7. Provides computer search services			
8. Screens computer searches			
9. Maintains cost data for responses			

FIGURE VII-1
Page 2 of 5

ERIC CLEARINGHOUSE SITE VISIT REVIEW FORM PAGE_____

E. *Liaison with professional organizations*

The clearinghouse has established, and continually maintains, working relationships with the professional organization(s) relevant to its scope.

CHECKLIST	DOCUMENTATION	PROBLEMS/COMMENTS	SUGGESTIONS FOR IMPROVEMENT
1. Writes columns and articles for professional journals 2. Produces information analysis products developed in collaboration with professional organizations 3. Involves professional organizations in suggesting information analysis products and authors and in the review process 4. Attends and/or displays at major professional conferences 5. Holds staff membership in relevant professional organizations			

ERIC CLEARINGHOUSE SITE VISIT REVIEW FORM PAGE _____

F. *Pubëications*

The clearinghouse has a planned program for information analysis products, based upon systematic evidence of practitioners' needs. The resulting publications are of high quality and reasonable cost.

CHECKLIST	DOCUMENTATION	PROBLEMS/COMMENTS	SUGGESTIONS FOR IMPROVEMENT
1. Has developed a plan for information analysis product development 2. Selects competent authors 3. Maintains an effective review process 4. Evaluates all products prior to publication 5. Has designed a comprehensive printing plan for publications 6. Has established joint publication arrangements 7. Has developed a marketing/ dissemination program			

FIGURE VII-1
Page 3 of 5

ERIC CLEARINGHOUSE SITE VISIT REVIEW FORM PAGE _____

G. *Clearinghouse Administration*

The clearinghouse is administered efficiently and competently.

CHECKLIST	DOCUMENTATION	PROBLEMS/COMMENTS	SUGGESTIONS FOR IMPROVEMENT
1. Has developed good budget management procedures 2. Has an effective reporting process 3. Practices effective administrative/ management procedures 4. Has established an effective Advisory Board, representative of its scope area(s) and of minority populations 5. Contributes to systemwide projects 6. Can document institutional support			

ERIC CLEARINGHOUSE SITE VISIT REVIEW FORM PAGE _____

H. *Personnel*

The staff is of adequate in size and competence to perform the functions required by the program of the clearinghouse.

CHECKLIST	DOCUMENTATION	PROBLEMS/COMMENTS	SUGGESTIONS FOR IMPROVEMENT
1. Has a professional staff with expertise and national visibility in scope areas 2. Has technical personnel skilled in such functions as acquisitions, indexing, and cataloging 3. Ensures that all personnel understand their assignments, the mission and functions of the clearinghouse, and the overall ERIC program 4. Is concerned about the morale of the staff 5. Balances the size of the staff to the mission and program			

ERIC CLEARINGHOUSE SITE VISIT REVIEW FORM PAGE _____

1. *Physical Facilities*

The clearinghouse has adequate physical facilities for accomplishing its mission.

CHECKLIST	DOCUMENTATION	PROBLEMS/COMMENTS	SUGGESTIONS FOR IMPROVEMENT
1. Has adequate work space			
2. Has a physical identity separate from parent organization			
3. Provides reading space, reference space, and basic reference tools			
4. Maintains a complete ERIC microfiche and reference tool collection (that is accessible to users)			
5. Has microfiche viewing/ printing equipment			
6. Has document and microfiche reproduction equipment			
7. Has a display area (for information analysis publications and other ERIC-related products)			
8. Furnishes adequate office equipment (file cabinets, telephones, typewriters, FTS, dictating equipment, etc.)			
9. Has computer capability			

FIGURE VII-1
Page 5 of 5

3. Discussion of Special Problems and Alternatives

While time should be provided within each topic area listed on the agenda for raising special problems, exploring alternatives, and making recommendations, there may be some more general issues which should be explored, either on the initiative of the project monitor or by the clearinghouse staff. These may call for a reconvening of the total staff.

4. Joint Recommendations for Improvement

Throughout the day, it is likely that decisions will be made and recommended new courses of action identified. These should be carefully recorded. If the visit is conducted largely through a continuing general session with the staff, such recommendations can be listed as they are agreed upon, on a sheet of newsprint (or chalkboard) so they may be visible to all, and available for review. If recommendations evolve from smaller group sessions or individual conferences, these should be gathered together into a master list.

At the conclusion of the site visit, a final general session may be held, at which the list of recommendations and action agreements is reviewed and clarified. It is very likely that some recommendations will call for clearinghouse action or follow-up by Central ERIC. When possible, the person responsible for follow-up should be designated.

D. Post Site Visit Actions

1. Site Visitor(s)' Feedback to the Clearinghouse

Subsequent to the site visit, the visiting CERIC staff will forward to the clearinghouse Director a letter covering reactions or comments.

2. Clearinghouse Staff Review of Recommendations; Planning for Action

At a staff meeting subsequent to the site visit, the clearinghouse staff may wish to review the set of recommendations arrived at during the site visit, and to discuss in greater detail what follow-up action is needed and who is responsible for initiating it. The Annual Review Session will be scheduled with CERIC three to four months after the site visit and at least 75 days prior to the end of the funding period. At this session, the Director should be prepared to report on actions that have been taken to implement recommendations agreed upon during the site visit.

SECTION OUTLINE

		PAGE
VIII.	GUIDELINES FOR ANNUAL REVIEWS	
	A. Introduction	VIII-3
	B. Presentation of the Review	VIII-3
	C. Review Material	VIII-3

VIII. GUIDELINES FOR ANNUAL REVIEWS

A. Introduction

The annual clearinghouse review session is an important element of the ERIC Program Planning Budget Cycle. These annual reviews are held at the National Institute of Education approximately three (3) months in advance of the clearinghouse funding anniversary date. The purposes of the review session are:

- to provide staff at Central ERIC (CERIC), and associated NIE programs, an opportunity to gain an insight into the overall operation of each ERIC clearinghouse, and
- to provide an opportunity to review plans for the upcoming funding year.

B. Presentation of the Review

Presentation of the review is to be made by the clearinghouse Director. The Director may be accompanied by the associate or assistant director. The participants at the review session will consist of CERIC professional staff and subject expert guests from other offices in the National Institute of Education, the Department of Education, or other Federal agencies. From time to time, guests may also be invited from outside the Federal establishment. i.e., from related professional organizations, educational institutions, practitioner groups, etc.

C. Review Material

The annual review document is the single most important report covering the clearinghouse's activity and operation. It should be written as a free-standing document and should not depend upon or refer the reader to other documents (such as the original proposal or site visit material). The annual review document is available to the NIE Contracts and Grants Office, NIE staff, and other interested persons.

A complete collection of all data to be presented at the review session must be forwarded in advance to the Central ERIC clearinghouse monitor. Ten (10) copies of the review materials must be mailed in sufficient time to arrive at CERIC at least five (5) working days before the review date.

Following the suggested format in Figure VIII-1, the review material to be forwarded should include, but need not necessarily be limited to, the following:

TABLE OF CONTENTS

List of Tables

List of Exhibits

I. Executive Summary

II. Summary of Work Accomplished and Planned*

III. Analysis of Scope of Interest and Emerging Trends and Issues

IV. Acquisitions

1. Acquisitions Procedures*
2. Contact with Others in the Field
3. Acquisitions Arrangements with Professional Organizations
4. Maintaining Contact with Contributors
5. Rate of Acquisitions*
6. Trends in Document Sources*

V. Selection

1. Selection for RIE: Procedures, Criteria, and Scope*
2. Rejection Rate
3. Quality Control
4. Balance Among Scope Areas*
5. Putting Documents into RIE at Level I, II, and III*

VI. RIE Input*

1. Processing Procedures*
2. Indexing and Abstracting
3. Backlog of Documents
4. Transmission Mode

VII. Current Index to Journals in Education (CIJE) Input*

1. Journal Coverage and Selection Criteria*
2. Processing Procedures
3. Turnaround Time

VIII. User Services

1. Assessing User Needs
2. Answering Information Requests*
3. Developing User Service Products
4. Linkages with Professional Organizations*
5. Conducting User Workshops*

IX. Computer Search Services

1. Procedures for Handling Computer Search Services
2. Number and Type of Requests*

X. Publications

1. 1983 Publication Planning Sheets*
2. Product Development and Review
3. Promotion/Marketing and Dissemination*
4. Published Reviews
5. Reprint Permissions

XI. Clearinghouse Management

1. Personnel Administration*
2. Budget Management
3. Institutional Support for Clearinghouse
4. Meetings, Travel, and Related Activities*
5. Computer Resources

XII. System Maintenance and Improvement

1. Vocabulary Review
2. Initiation of New Descriptors
3. Other Special Projects

XIII. Staff Training

1. Training of Current Staff
2. Training of New Staff

XIV. Advisory Board

1. Composition*
   (name, complete address, constituency representation)
2. Role of the Advisory Board
3. Clearinghouse-Board Interactions

XV. Special Projects

XVI. Revolving Fund

XVII. Facilities

XVIII. Performance Category Budget*

****

* These items require supporting statistical data, See Figures VIII-2-6 for suggested formats for selected figures, charts, and graphs at the end of this chapter or in other sections of this manual. Each year of the current contract should be reflected in these graphic representations.

FIGURE VIII-1

ANNUAL REVIEW DOCUMENT——SUGGESTED OUTLINE

1. Summary of Work Accomplished

In general, the report should include a detailed summary covering work accomplished during the funding year. (See Figure VIII-2 for sample table that might accompany summary.) The summary should specifically spell out how the clearinghouse has succeeded or failed in meeting the objectives which it set for itself in the funding proposal. (Since the year will not have expired at the time of the review, appropriate projections for work yet to be accomplished will have to be made.)

Explanations are required in those instances where goals have not been met. The summary should address itself to the items outlined in the contract technical proposal (or in incremental funding updates).

2. Statistical Data (See Figure VIII-3 for Sample)

Supporting statistical data are to be provided with the summary, along with appropriate graphs, charts, and pictorials. The supporting data are to be tabulated on an annual basis (projected to cover a full year), with data for each funding year covered encompassing the major reporting categories in the clearinghouse Semiannual Reports. Major categories include:

- Acquisitions
- RIE and CIJE input
- Question-answering activities
- Types of requests
- Breakdown of types of users

If the clearinghouse has a responsibility for covering several major subject fields (such as CE has for monitoring adult, career, and vocational education) it is highly desirable that the statistics contain a breakdown reflecting results in each of the separate major subject fields of coverage.

3. Publications Planning Sheet

Publications Planning Sheets (see Figure V-2) must be provided covering each of the major clearinghouse publications contracted for during the funding period. Each sheet must indicate the original title (and any later titles substituted thereafter), the state of completion at the time of the review, and the anticipated dates of completion and manuscript delivery. If, for any reason, any products have had to be cancelled without an appropriate approved substitution, an accounting must be made of the status of the obligated funds. A summary chart depicting the current status of each major project should be included (see Figure VIII-4).

4. Other Clearinghouse Activities

The narrative should also include a summary of all other clearinghouse activities during the funding year, i.e., workshops conducted, linkages with professional organizations, columns published in professional journals (see Figure VIII-5(A-B), etc.

	PROPOSED 1980-81	ACCOMPLISHED 1980-81	PROPOSED 1981-82	ACCOMPLISHED 1981-82 (1)
Database Building				
Acquisitions	3,800	4,118	3,800	3,791
Selection	3,800	4,118	3,800	3,791
RIE	1,800	1,796	1,620	1,620
CIJE	2,100	2,235	1,890	1,890
User Services				
Journal Articles	45	45	40	40
Journal Columns	0	0	1	1
Brochures	1	1	0	0
Newsletters	43	46	46	46
Minibibs	10	10	8	8
ERIC Digests	7	7	6	6
Question-Answering	4,000	3,382	4,000	3,800
Major Clearinghouse Publications				
Information Analysis Products	4	4	3	4
Other Major Products	8	8	7	7

(1) Should be projected to cover the entire funding year.

SUMMARY OF WORK PLANNED AND ACCOMPLISHED (SAMPLE)

FIGURE VIII-2

FIGURE 1
SOURCES OF DOCUMENTS
1980 - 1982

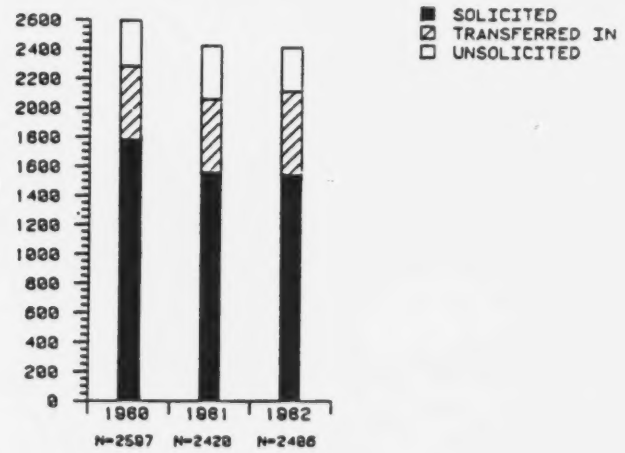
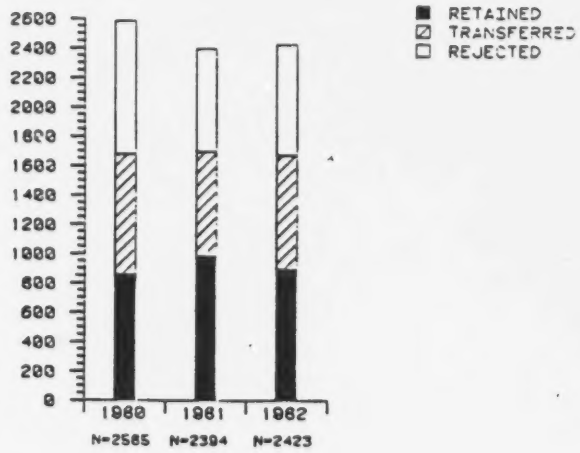


FIGURE 9
RIE SELECTION SUMMARY DATA
1980 - 1982



STATISTICAL DATA (SAMPLE)

FIGURE VIII-3

ERIC COUNSELING AND PERSONNEL SERVICES CLEARINGHOUSE

INFORMATION ANALYSIS PRODUCTS

1983 Summary Sheet

IAP	Selection of Author	Outline	First Draft	Review	Return to Author	Final Draft	Editing	Payment of Author	Typing	Proofing	Cover Artwork	To Printer	Copies to Monitor	Product Report
1. "Vol. II" Guidance Program Kit	x	x	x	x	--	x		--			x			
2. Issues in Training Marriage and Family Therapists	x	x	x	x	x	x	x	--	x	x	x	x	x	
3. Counseling Youth for Employability: Unleashing the Potential	x	x	x											
4. Famine at the Feast: A Therapist's Guide to Working with the Eating Disordered	x	x	x											
5. Shaping Counselor Education Programs ("EPCOT Papers")	x	x	x	x	x	x	x	--			x	x		
6. Needs Assessment (21+)	x	x	x	x	x						x			
7. We will substitute one of the updates/revisions.														

Source: ERIC/CG

FIGURE VIII-4

OTHER CLEARINGHOUSE ACTIVITIES: LINKAGES WITH PROFESSIONAL ORGANIZATIONS

(SAMPLE)

	STAFF PARTICIPATION IN CONFERENCES AND OTHER MEETINGS	SPECIAL PRODUCTS PREPARED FOR MEETINGS	DISTRIBUTION OF I/A PRODUCTS TO MEMBERSHIP	STANDING ACQUISITION ARRANGEMENT	REVIEW OF CLEARINGHOUSE I/A MANUSCRIPTS	CLEARINGHOUSE ANNOUNCEMENTS/ COLUMNS IN JOURNALS OF NEWSLETTERS	JOURNAL PUBLICATION ARRANGEMENTS	QUERY REFERRAL
Academic Senate for California Community Colleges	XX	XX		XX				XX
*American Association for Higher Education	XX	XX	XX				XX	
*American Association of Community and Junior Colleges (AACJC)	XX	XX	XX	XX	XX	XX	XX	XX
AACJC American Association of Women in Community and Junior Colleges	XX				XX			XX
*AACJC Consortium on Small/Rural Community Colleges					XX			
*AACJC Council for Occupational Education	XX	XX	XX		XX		XX	
*AACJC Council of Universities and Colleges	XX	XX	XX	XX	XX	XX	XX	XX
AACJC Council on Black American Affairs		XX						
AACJC Council on Community Relations					XX			

Source: ERIC/JC

FIGURE VIII-5(A)

JOURNAL	COLUMN	NUMBER PER YEAR	CIRCULATION
Exceptional Children	"CEC ERIC's Newsfront"	6	75,000
TEACHING Exceptional Children	"The Teacher's ERIC"	3	70,000
Behavioral Disorders	"Views and Reviews from CEC/ERIC"	4	5,300
Diagnostique	"ERIC Update"	4	1,000
CASE Newsletter	"ERIC Showcase"	2	1,000
DVH Newsletter	"ERIC"	2	500
Journal of the Education of the Gifted	"ERIC Highlights"	2	4,000

OTHER CLEARINGHOUSE ACTIVITIES:
ERIC COLUMNS PUBLISHED IN PROFESSIONAL JOURNALS
(SAMPLE)

FIGURE VIII-5(B)

5. Performance Category Budget

A Performance Category Budget (PCB) should be furnished (as the last page of the narrative). The PCB should indicate in its first column (Funding Year Proposed) the same figures which were shown in column 3 of the PCB for the current contract under which the clearinghouse is operating. Under Column 2, figures should be provided projecting estimates as to the amount of funds which will actually be spent at the completion of the funding year (see Figure IX-1).

In those categories where it is appropriate, projections should be made as to the numbers of units (items) which will have been processed at the completion of the funding year.

6. Incremental Funding Request

A draft copy of the upcoming year's incremental funding requests (without any cost estimates) should be included. (See "Incremental Funding Request," Section IX of this Manual for format.) All products planned for the upcoming year must be identified in detail, as described in the above-cited reference.

If all years of a clearinghouse contract will be completed by the end of the upcoming year, this requirement will, of course, be waived.

7. Publication Samples

Samples of completed publications (newsletters, brochures, major publications, etc.) should be available at the review for display.

SECTION OUTLINE

		PAGE
IX.	INCREMENTAL FUNDING REQUESTS	
	A. Introduction	IX-3
	B. Requirements for Submission	IX-3
	C. Format of Request	IX-3
	D. Business (Line Item) Budget	IX-4
	E. Performance Category Budget	IX-5

IX. INCREMENTAL FUNDING REQUESTS

A. Introduction

An Incremental Funding Request is required for years two and three of all clearinghouse contracts. It is on the basis of this request, and the information provided therein, that operating funds are allocated for the continued operation of the clearinghouse.

B. Requirements for Submission

The National Institute of Education (NIE) Contracts and Grants Office requires that Incremental Funding Requests be received in that office not later than nine (9) weeks prior to the expiration date of the funding period involved. However, in order for Central ERIC (CERIC) to properly manage the allocation of its funds, it is necessary that draft copies of the Incremental Funding Request and tentative budgets be available for discussion at the annual clearinghouse review session, which is held approximately three (3) months prior to the contract anniversary date. Copies of the request should, therefore, be incorporated into the review material forwarded to CERIC ten (10) working days in advance of the scheduled review session. (Section VIII, "Guidelines for Annual Reviews.")

C. Format of Request

An Incremental Funding Request for the continuation of an ERIC clearinghouse contract consists of the following elements:

- a technical proposal update and a cost proposal update (including a line item budget)
- a Performance Category Budget (PCB)
- a Contract Pricing Proposal (better known as an Optional Form 60 (OF-60))

1. Technical Proposal Update

The technical proposal update should include a description of all work planned for the funding period in question and should discuss any anticipated changes from the original proposal. The update document should address itself in the narrative section specifically to the following items:

- Level of effort or target figures for all clearinghouse operations for the upcoming year (e.g., acquisitions; database building; user services; system maintenance; and clearinghouse products).
- Titles and descriptions of all proposed clearinghouse products (both major products and user services products); all workshops and conferences to be attended; and all special outreach activities.

- Staff time allocation chart listing all clearinghouse personnel, positions occupied, and percentage of effort in terms of full-time-equivalents (FTE's). (Separate percentage designations should be made for those portions that are federally-funded and any personnel time that might be contributed to the contract by the host institution).

- Complete names and addresses of all Advisory Board members.

- Any other changes from the original proposal (e.g., changes in journal coverage; new staff vitae; facility/space allocations; institutional support; special projects; etc.)

- Schedule of deliverables

D. Business (Line Item) Budget

The following format is to be used in preparing line item breakdowns for budget submissions:

1. Staff Personnel

List each person on the clearinghouse staff by function and indicate individual salaries. Person-years of effort should be indicated for each monetary sum listed. Total FTE's should be shown.

2. Fringe Benefits

Identify specifically such items as retirement, FICA, insurance, unemployment insurance, compensation insurance, etc.

3. Consultant, Advisory, Author Commission and Review Fees

Break out separate costs for: consultants' fees, Advisory Boards, commissioned authors, review panels, etc.

4. Travel

Identify trips planned, number of people traveling, and cost of each trip. Identify by function where specific dates and/or locations have not been definitely established.

5. Supplies

Include such items as general office supplies, books, journal subscriptions, photocopy supplies, etc.

6. Communication

Includes postage, telephone, and telegraph charges.

7. Equipment Intended to be Purchased During Contract Year

Items costing over $200 each should be identified.

8. Services

Printing costs, contract typing and editing, computer services, maintenance agreements, repair costs, etc.

9. Indirect Costs

Indicate indirect costs and basis on which these charges are calculated.

10. Total Support Requested

Provide a subtotal for each of the categories (1) through (8), and then a total for direct costs.

The Business Budget should also include a statement as to whether any of the year's funds will be unexpended at the end of the funding year. An estimate of any anticipated unexpended funds must be provided.

E. Performance Category Budget

A Performance Category Budget (PCB) must be submitted with each Incremental Funding Request. A sample of the PCB form is provided in Figure IX-1. The data in the various columns necessarily has to be collected during the progress of the funded year. Identification of the various categories and the instructions for completion of the entries are included in Section IX.

Three (3) separate columns of figures are required. Each set is to contain a breakout, where applicable, for:

- Number of items
- Dollar Amounts
- Unit Costs

The first column should indicate, line item-by-line item, the figures which were projected as estimates on the previous year's PCB (which was submitted with the clearinghouse's final budget renewal proposal. In all cases, the dollar total of this column must, therefore, equal the total amount of contract funds during the current year. The second column of figures should reflect the actual expenditures during the current funding year, (plus projections made to cover the months remaining in the current funding year). The dollar total column should equal the actual amount anticipated to be expended by the completion of the funding year. The third column should provide the best estimate of costs for each categorical item during the upcoming funding year. The dollar total of this column should equal the total funds (direct and indirect) requested for the next funding year, as reflected in the Business Budget (Line Item Budget).

PERFORMANCE CATEGORY BUDGET (PCB)

	SUBMITTED BY:	CONTRACT YEAR (CONTRACTED FOR)			CONTRACT YEAR (ACTUAL)			CONTRACT YEAR (PROPOSED)		
		# ITEMS	DOLLAR AMT.	UNIT COST	# ITEMS	DOLLAR AMT.	UNIT COST	# ITEMS	DOLLAR AMT.	UNIT COST
DATABASE BUILDING	ACQUISITIONS									
	SELECTION									
	RIE INPUT									
	CIJE INPUT									
	TOTAL DATABASE BUILDING									
USER SERVICES	USER SERVICES PRODUCTS									
	QUESTION-ANSWERING									
	USER WORKSHOPS									
	TOTAL USER SERVICES									
MAJOR PUBLICATIONS	INFORMATION ANALYSIS PRODUCTS									
	OTHER MAJOR PUBLICATIONS									
	TOTAL MAJOR PUBLICATIONS									
ADMINISTRATION	CLEARINGHOUSE MANAGEMENT									
	SYSTEM MAINTENANCE AND IMPROVEMENT									
	STAFF TRAINING									
	ADVISORY BOARD									
	TOTAL ADMINISTRATION									
SPECIAL PROJECT	[To be named.]									
	[To be named.]									
	TOTAL SPECIAL PROJECTS									
	GRAND TOTAL (All Items)									

INDIRECT COST RATE % OF SALARIES & WAGES % OF TOTAL BUDGET % (OTHER)

1. Indirect Costs (Overhead), Employee Benefits, and Other Costs

Indirect costs must be distributed through each category in the PCB in the same manner in which they are determined. For example, if indirect costs are based on salaries and wages, then they must be allocated within each category according to the ratio of total salaries allocated to that category. However, when overhead is based on total contract direct costs, it will be prorated proportionately. Employee benefit costs will be allocated within each category according to total salaries allocated to each category. Supplies, communications, and equipment costs that cannot be allocated directly to sections within the PCB should be allocated to the "Clearinghouse Management" category.

2. Database Building

This general category is concerned with clearinghouse activities related to building the ERIC database. The category includes four kinds of activities: (1) Acquisitions, as related to RIE input; (2) Selection/Rejection, as related to RIE input; (3) Resources in Education input functions; and (4) Current Index to Journals in Education input functions, including CIJE acquisitions and selection.

a. Acquisitions (RIE)

All RIE document solicitation efforts. All costs associated with efforts at acquiring documents for input into the system should be charged to this category. This is to include all costs, regardless of whether the document is ultimately selected. Typical items for inclusion are:

- correspondence efforts, i.e., postage, personnel time, materials, etc. (Include time spent on the telephone requesting documents.)
- costs of documents (if purchased).
- subscriptions to journals and newsletters whose primary use is for acquisitions (do not include subscription costs for journals processed into CIJE).
- time involved in filling out the Acquisitions Data Report for submission to the ERIC Facility.
- logging acquired documents for in-house control purposes.
- costs of reference books, directories, acquisition of mailing lists, etc.

("Number of items" refers to total number of documents acquired during reporting period.)

b. Selection/Rejection (RIE)

The process of accepting or rejecting a document for inclusion in the ERIC database. The PCB should reflect all costs associated with:

- personnel time devoted to scanning and selecting documents. Include time spent in screening rejects and transfers, and that spent in duplicate checking.
- time involved in the transfer of documents, including postage and record keeping.
- the process of securing copyright releases, more legible copies, etc.

("Number of items" refers to the total number of documents examined in the screening process. Note: This figure should coincide with that shown for Acquisitions——see preceding instructions in 2a. above.)

c. Resources in Education (RIE) Input

The process of preparing a document for submission to the ERIC Facility for entry into the system. Expenses should be reported from the time the document is selected until it is physically mailed. Costs to be reported should include:

- all effort associated with descriptive cataloging, abstracting, and indexing.
- document error checking.
- all clerical effort and/or incidental expenses related to input, e.g., preparation of accession log sheets, packing, and shipping of documents.
- final substantive resume review (e.g., possibility of inappropriate index terms, unclear sentences, insensitive wording, etc.)
- liaison with ERIC support contractors relative to specific input problems.
- internal records maintenance.

("Number of items" refers to total number of documents submitted for inclusion in RIE.)

d. Current Index to Journals in Education (CIJE) Input

The process of acquiring journals, selecting articles, and processing same for input into the ERIC system. Costs reported in the PCB should include:

- all journal procurement actions, subscription costs and followup actions. (Does not include costs of journals used for acquisition purposes only.)
- all effort related to accessioning, selection, indexing, and annotating, including reading of articles.
- proofreading, corrections, etc.
- all clerical effort and expenses associated with input, e.g., preparation of log sheets, packing, and mailing of resumes.
- internal records maintenance.
- final substantive resume review.
- liaison with ERIC Facility relative to specific input problems.

("Number of items" refers to total number of articles submitted for inclusion in CIJE)

3. User Services

This general category includes all clearinghouse activities associated with providing services to users of the ERIC system. The category includes three kinds of activities:

- preparation of User Services Products
- Question-Answering for clearinghouse clients
- conduct of User Workshops

All publicity and public relations costs (formerly a separate line item) should be distributed to the most appropriate User Services category.

a. User Services Products

Those clearinghouse-initiated products that are mainly instructional in nature. The PCB should include all costs involved in the preparation of these products, such as:

- product planning effort
- writing of material
- art work and graphic design
- manuscript typing
- editing

- printing
- distribution
- promotion/marketing

Examples of specific kinds of products that should be included in this category are:

- brochures
- publication lists
- short bibliographies
- information bulletins
- journal columns
- ERIC Digests

b. Question-Answering

All clearinghouse efforts associated with written or telephonic responses to users' questions. The PCB should show all costs involved in planning for and answering users questions. Examples of such costs are:

- staff planning
- staff-conducted searches for information
- preparing all responses
- referrals to other sources
- responses to complaints
- typing and mailing costs
- maintenance contracts on equipment used for question-answering
- maintenance of a user service area within the clearinghouse
- record keeping

("Number of items" refers to number of questions answered during the reporting period.)

It should be noted that those questions which require a written response, or some action on the part of the clearinghouse, should be counted under Question-Answering. Included here would be responses using "off-the-shelf" materials, letters prepared to answer clients' specific questions, and placing someone's name on the clearinghouse mailing list. This category also includes verbal responses to questions received via telephone (provided adequate records are kept), and questions answered at exhibit booths and professional meetings. Questions originating at workshops are properly chargeable against the Workshop category. However, if the questions are of such a nature that followup action is required at the clearinghouse, then all such questions and answering time are properly classifiable under Question-Answering. The number of questions to be answered in the contract PCB is an estimate for each clearinghouse based on past experience. (It is not necessary that the final number of questions answered by

each clearinghouse at the end of its contract year correspond exactly with the number estimated on the PCB at the onset of the contract year.

c. User Workshops

All effort related to user workshops, presentations, or user training conducted locally, regionally, or nationally, involving multiple user audiences. The PCB should include here costs covering such items as:

- staff planning for workshops or training sessions
- correspondence
- staff and participant travel and per diem (if applicable)
- expendable materials
- production of workshop exhibit and handout materials
- space and equipment rental for workshop activities
- special consultant honoraria, travel, and per diem
- publicizing the workshop

4. Major Clearinghouse Publications

This general category includes all activities associated with the preparation of major clearinghouse publications:

- Information Analysis Products (IAP's), e.g., state-of-the-art reports, syntheses of knowledge, comprehensive reviews of pertinent literature, and other substantive publications. Such products may be prepared inhouse, commissioned to an out-of-house author (or authors), or prepared jointly by clearinghouse staff and outside authors. In all cases, Information Analysis Products are subject to both internal and outside expert review.

- Other Major Clearinghouse Products, such as extensively annotated bibliographies drawing substantially on the ERIC database, comprehensive resource directories, etc.

All costs associated with the planning, conceptualization, preparation, review, production, distribution, and marketing of such publications, regardless of whether the products are prepared inhouse or out-of-house, should be included in this category. The PCB should include all costs associated with:

- staff planning and conceptualization related to the publications program

- selection of and negotiation with prospective authors

- liaison with professional organizations concerning products

- screening of literature and/or ERIC searches

- manuscript preparation, including writing and typing of draft(s) and final products
- editing
- arranging for and conduct of manuscript review
- payment for artwork, graphic design, or layout
- planning for printing and distribution
- payment of honoraria (if any) and consultant fees (if any) to authors or outside consultants
- printing and distribution/marketing costs of copies for individuals on the clearinghouse mandatory and preferred mailing lists

Only major products are to be included in this category. Other products, such as short bibliographies or journal columns, should be included in the User Service Products category, unless other arrangements have been made with NIE. Costs of distribution of these major products to users in response to individual requests should be accounted for under Question-Answering.

5. Administration

This general category includes administrative activities of the clearinghouse dealing with the short- and long-term functioning of the clearinghouse and the overall ERIC system. There are four kinds of activities included under administration:

- Clearinghouse Management
- System Maintenance and Improvement
- Staff Training
- Advisory Board Activities

a. Clearinghouse Management

General supervisory activities pertaining to such items as personnel actions long- and short-range planning, problem solving, report preparation, etc., that are not directly assignable to other Performance Category Budget areas. Within this category the PCB should include costs related to:

- development, refinement, and review of selection criteria as applied to the clearinghouse scope

- daily management and supervision (e.g., data collection, bookkeeping, record keeping, personnel action, etc.) that are not directly related to other PCB areas.
- general needs assessment planning and control activities related to overall clearinghouse operations.
- liaison with sponsoring institution administrators and others.
- liaison with government officials directly related to clearinghouse management.
- compilation of workload and performance category data.
- preparation of reports, including semiannual reports, and budgets.
- site visit material preparation and involvement in site visit.
- preparation for, attendance at, and involvement in ERIC Directors' meetings, annual review sessions, special ERIC administrative meetings, and national and local meetings as clearinghouse representatives for primarily administrative purposes.
- staff meetings.

b. System Maintenance and Improvement

All clearinghouse activities which support and foster ERIC as an information system. The PCB should include within this category costs related to:

- preparation for, attendance at, and expenses incurred in connection with ERIC Technical Meetings and the ERIC Users' Meetings.
- effort devoted to input of new thesaurus terms, including meetings of the Vocabulary Review Group, review of the vocabulary status report, and preparation of the vocabulary development forms.
- liaison with the ERIC Facility and the ERIC Document Reproduction Service (EDRS) related to improvement and maintenance of the system.
- work with Central ERIC staff and other NIE staff (e.g., other groups within the Office of Dissemination and Improvement of Practice) related to system improvement or relation of the system to other NIE programs.

- work of clearinghouse staff on special committee assignments (e.g., Technical Steering Committee) related to maintenance and improvement of the ERIC system.

c. Staff Training

Any professional development activity for professional or support staff designed to improve clearinghouse staff competencies. Costs within this category would include:

- time involved in training new employees. Fifty percent of a new employee's time should be allocated to Staff Training during the first two months of the employee's tenure with the clearinghouse.
- time allocated for individual or group formal training sessions such as attendance at classes on indexing, abstracting, staff seminars, etc.
- staff reading time related to professional development.
- attendance at and expense associated with professional meetings, if such attendance is aimed at enhancing the professional growth of the staff member.

d. Advisory Board Activities

Those activities associated with planning and conduct of national, regional, or local Advisory Board events. Costs within this category would include:

- honoraria, if any, paid Advisory Board members for participating in Advisory Board events. (Excluded from this category are honoraria paid to consultants for work related to other clearinghouse activities.)
- staff time devoted to planning for and conduct of all Advisory Board activities.
- payment of all expenses incurred in the conduct of Advisory Board activities, including travel, per diem, meeting room fees, special meterials, etc.